



Attorneys Docket No. 2001US307

6P1752

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the application of: Ping-Hung Lu et al

Serial No.: 09/966,958

Group Art Unit: 1752

Filed: 09/28/00

Examiner: NOT ASSIGNED

For: NEGATIVE-ACTING CHEMICALLY AMPLIFIED PHOTORESIST COMPOSITION

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

**INFORMATION DISCLOSURE STATEMENT WITHIN THREE MONTHS  
OF FILING OR BEFORE MAILING OF THE FIRST OFFICE ACTION**

Sir/Madam:

**1. IDENTIFICATION OF TIME OF FILING INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(e).

**2. PRELIMINARY STATEMENTS**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

**3. COMPLETED FORM PTO-1449 IS ATTACHED.**

**4. IDENTIFICATION OF PRIOR APPLICATION IN WHICH LISTED INFORMATION WAS ALREADY CITED AND FOR WHICH NO COPIES ARE SUBMITTED OR NEED BE SUBMITTED**

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TC 1700

[ ] This application relies, under 35 U.S.C. 120, on the earlier filing date of prior application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_. The following references were submitted to and/or cited by the Office in this prior application, and therefore, are not required to be provided in this application.

5. COPIES OF LISTED INFORMATION ITEMS ACCOMPANYING THIS STATEMENT

Legible copies of all items listed accompany this information statement.

[ ] Exception(s) to above:

[ ] Items in prior application from which an earlier filing date is claimed for this application as identified in No. 4 above.

6. TRANSLATION(S) OF NON-ENGLISH LANGUAGE DOCUMENTS

[ ] Submitted herewith is an English translation of the following foreign language patents, publications or information or of those portions of those patents, publications or information considered to be material:

[ ] No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except those listed above.

[ ] The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

7. IDENTIFICATION OF PERSON(S) MAKING THIS INFORMATION DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted:



Sangya Jain  
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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
2001US307

In Re Application Of: **O Pung Lu et al**

Serial No.  
09/966,958

MAR 01 2002

SC4

Filing Date  
09/28/01

Examiner  
NOT ASSIGNED

Group Art Unit  
1752

Title: NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

- The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

- The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

the statement specified in 37 CFR 1.97(e);

OR

the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
2001US307

In Re Application: Ping-Hung Lu et al

Serial No.  
09/966,958

Filing Date  
09/28/01

Examiner  
NOT ASSIGNED

Group Art Unit  
1752

**NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.

The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \_\_\_\_\_

Credit any overpayment.

Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

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**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on February 19, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Vivian Austin

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Signature of Person Mailing Correspondence

Vivian Austin

\_\_\_\_\_  
Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

S. Jain  
\_\_\_\_\_  
Signature

Dated: February 19, 2002

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